

# Transaction Form For Existing Investors (Individual & Corporate)



Date   -   -   (dd - mm - yy)

## General Instructions

1. This form is for use by existing Unit Holders who want to make the following types of transactions in their investment account: 1) Purchase of Additional Units, 2) Redemption of Units, and 3) Conversion of Units. Please use a separate form for each transaction type (multiple transaction types on a single form is not allowed)
2. Fill the form in block letters and in legible handwriting to avoid errors in application processing. If any alteration is made, a countersign is mandatory
3. Fill the form yourself or get it filled in your presence. Do not sign and/or submit blank forms
4. It is the responsibility of the Unit Holder to carefully read and understand the guidelines and instructions provided in this form and the terms and conditions, especially risk disclosure, disclaimer, warning statement, investment objective in the Offering Document(s) of the relevant Fund(s) prior to submitting the form
5. In case this form is incomplete or not duly filled and there is any discrepancy, the entire form or the particular transaction(s) may not be processed
6. Applications complete in all respects and carrying necessary documentary attachments should be submitted at UBL Branches.
7. For assistance in filling this form or information about our products and services please visit or call your nearest UBL branch.

## 1 Principal Unit Holder Information (Mandatory)

Principal Unit Holder's Name (Mr/Ms/Mrs/Messrs) \_\_\_\_\_ Customer ID

## 2 Joint Unit Holder Information (If Applicable)

1. Name \_\_\_\_\_ 3. Name \_\_\_\_\_  
2. Name \_\_\_\_\_ 4. Name \_\_\_\_\_

## 3 Transaction Type - Additional Purchase of Units

	Name of Fund / Plan	Type of Units	Amount	Currency*
1				
2				
3				

\* Permissible Currency: AED for UAE, QR for Qatar and BHD for Bahrain

	Mode of Payment	Instrument No.	(Drawn on) Bank Name	Branch Name & Code
1	<input type="checkbox"/> Cheque <input type="checkbox"/> Pay Order <input type="checkbox"/> Demand Draft <input type="checkbox"/> Online Transfer			
2	<input type="checkbox"/> Cheque <input type="checkbox"/> Pay Order <input type="checkbox"/> Demand Draft <input type="checkbox"/> Online Transfer			

Note: In case of 'Joint Operating Instructions', signatures of both the Primary Unit Holder and Joint Holder(s) are mandatory  
Official stamp required in case of Corporate Unit Holder

Date   -   -   (dd - mm - yy) \_\_\_\_\_  
Principal Unit Holder(s) Signature \_\_\_\_\_ 1. \_\_\_\_\_ 2. \_\_\_\_\_ 3. \_\_\_\_\_  
Joint Unit Holder(s) Signature(s)

### Guidelines & Instructions

1. Payment shall be made in favor of 'Trustee Name < Fund Name >' (in case of investment in funds), and in favor of 'Trustee Name UBL Funds' (in case of investment in plans). Instrument should be crossed 'Account Payee Only'
2. Front-end load (charges) will be applicable on investment as per the constitutive documents of the relevant fund(s)/plan(s)
3. Transaction will be processed as per cut-off timings for the fund/plan.

Source of Funds (Multiple options may be selected) ☐ Salary ☐ Self-owned / Family Business (Please specify) \_\_\_\_\_☐ Home Remittance ☐ Inheritance ☐ Stocks/ Investments ☐ Other \_\_\_\_\_  
(please specify)

	Name of Fund / Plan	Type of Units	Amount / No. of Units / %	Currency*
1				
2				

\*Permissible Currency: AED for UAE, QR for Qatar and BHD for Bahrain

I / We would like to receive the encashment amount as:

Non Repatriation of Redemption proceeds ☐ Cheque ☐ Pay-order ☐ Demand Draft ☐ Online Transfer (only for UBL A/c holders)Repatriation of Redemption proceeds ☐ Swift Transfer ☐ Foreign Currency Demand Draft

Bank Account No./Swift Code \_\_\_\_\_

Bank Name &amp; Branch Code \_\_\_\_\_

Bank Address \_\_\_\_\_

Bank Telephone: \_\_\_\_\_

Note:

1. Encashment proceeds would only be paid in favor of the Unit holder or the first name of the account holder in case of joint holding.
2. Online account transfer facility is available only with UBL Bank.

**Guidelines & Instructions**

1. Zakat (if applicable) will be deducted incase zakat affidavit (exemption) has not been submitted
2. Back-end load (charges) may be applicable on redemption as per the constitutive documents of the relevant fund(s)/plan(s)
3. All applications received in Middle East on Sunday or any other non-business day (including gazette holidays) and/or after cut off time on a particular business day shall be processed on next business day.
4. Incase of encashment from an investment plan, units will be redeemed from the underlying fund(s) in accordance to the weightages assigned to them for that plan
5. Partial encashment from an investment plan will only be allowed subject to maintaining minimum investment amount in the plan
6. Redemptions may take up to six (6) business days from receipt of application as per the constitutive documents of the Fund.
7. Tax Charges maybe applicable on Redemption Proceeds as per the Income Tax Law.

From				To	
	Name of Fund / Plan	Amount (Rs.) / No. of Units / %	Type of Units	Name of Fund / Plan	Type of Units
1					
2					

**Guidelines & Instructions**

1. Conversion can only be made from one fund to another fund and from one plan to another plan. Conversion from a fund to plan (and vice versa) is not allowed
2. Front-end and/or back-end load (charges) will be applicable on conversion as per the constitutive documents of the relevant fund(s)/plan(s)
3. Conversion charges may be applied as per the constitutive documents of the fund(s)/plan(s)
4. All applications received in Middle East on Sunday or any other non-business day (including gazette holidays) and/or after cut off time on a particular business day shall be processed on next business day.
5. Incase the amount available in a fund/plan is less than the requested amount, the entire amount will be converted as indicated by the Unit Holder in this form

The unit holders have the right to obtain a refund of their first time investment (cooling-off right) in a particular Collective Investment Scheme. The cooling-off right shall be available to the individual unit holders only. The cooling-off period shall comprise of three business days commencing from the date of issuance of investment report (transaction statement) to the unit holder. The cooling-off right shall be exercised by the unit holder upon written request to the AMC. The investment amount is being refunded at the applicable NAV on the date the cooling-off right is exercised which shall be paid to the unit holder within six business days of receipt of written request from the unit holder. The AMC shall also refund any sales load paid by the unit holder. However, contingent load (Back end load) shall be payable by the unit holder where applicable.

I/We have carefully read, understood and accepted the terms and conditions given in the relevant Trust Deed(s) and Offering Document(s) of the Fund(s)/Plan(s). I/we hereby confirm that I/we have received and read the latest Fund Manager Report and/or Fact Sheet as the case may be. I/We understand that investments in mutual funds are subject to market risks and fund prices may go up or down based on market conditions. I/We understand that past performance is not necessarily an indicator of future results and there is no fixed or guaranteed return. I/We declare that the amount so invested is legitimate and not generated from money laundering activities.

I/We confirm that I/We have understood the details of Sales Load to be deducted including taxes thereon. I/We hereby also acknowledge that I/We have reviewed and understood the Total Expense Ratio, Management Fee, Selling & Marketing expenses, Front-end, Back-end and Contingent Load of the Scheme as disclosed on the UBL Fund Managers website link <https://www.ublfunds.com.pk/individual/resources-tools/fund-performance-tools/latest-fund-prices/>

میں/ہم نے فنڈ (منصوبوں) / پلان (منصوبوں) کی متعلقہ ٹرسٹ ڈیڈ اور پیش کش دستاویز میں دیئے گئے شرائط و ضوابط کو بغور پڑھا، سمجھا اور قبول کیا ہے۔ میں/ہم اس کے مطابق ہیں کہ میں/ہم نے فنڈ مینجمر کی تازہ ترین رپورٹ اور/یا فیکٹ شیٹ کو موصول اور پڑھا ہے جیسا کہ معاملہ ہو سکتا ہے۔ میں/ہم سمجھتے ہیں کہ باہمی فنڈز میں کی جانے والی سرمایہ کاری مارکیٹ کے خطرات سے مشروط ہے اور فنڈ کی قیمتیں مارکیٹ پر مبنی شرائط میں یا نیچے جاسکتی ہیں۔ میں/ہم سمجھتے ہیں کہ ماضی کی کارکردگی ضروری نہیں کہ مستقبل کے نتائج کا اشارے ہو اور نہ ہی کوئی واپسی ہو اور نہ ہی اس کی ضمانت ہو۔ میں/ہم اعلان کرتے ہیں کہ اس میں لگائی گئی رقم جائز ہے اور مٹی لانڈرنگ کی سرگرمیوں سے حاصل نہیں ہوتی ہے۔

میں/ہم سمجھتے ہیں کہ میں/ہم نے سیلز لوڈ کی کوٹنی کی تفصیلات کو سمجھ لیا ہے جس میں ٹیکس بھی شامل ہے۔ میں/ہم اس کے ذریعہ یہ بھی تسلیم کرتے ہیں کہ میں/ہم نے UBL فنڈ مینجمر کی ویب سائٹ لنک پر انکشاف کردہ اسکیم کے کل اخراجات کا تناسب، مینجمنٹ فیس، فروخت اور مارکیٹنگ کے اخراجات، فرنٹ اینڈ، بیک اینڈ اور متواتر بوجھ کا جائزہ لیا ہے اور اسے سمجھا ہے۔

<https://www.ublfunds.com.pk/individual/resources-tools/fund-performance-tools/latest-fund-prices/>

Date --  
(dd - mm - yy)

Principal Unit Holder'(s) Signature

1.

2.

3.

Joint Unit Holder'(s) Signature(s)

#### For Office Use Only

Distributor \_\_\_\_\_ Name of Agent \_\_\_\_\_ Sub-Agent \_\_\_\_\_  
Reference/Agent No. \_\_\_\_\_ Branch/Location \_\_\_\_\_ Remarks \_\_\_\_\_